

JRW

Attorney Docket No.: PATENT  
COOL-01400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

James Lovette et al.

Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**



Group Art Unit: 3753

Examiner: Tho V. Duong

**TRANSMITTAL LETTER**

162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Customer No. 28960

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Supplemental Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 7-28-06

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 7-28-06 By: [Signature]



PATENT  
Attorney Docket No.: COOL-01400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                                      |   |   |
|--------------------------------------|---|---|
| In re Application of:                | ) | Group Art Unit: 3753                        |
| James Lovette et al.                 | ) | Examiner: Duong, Tho V.                     |
| Serial No.: 10/612,241               | ) |   |
| Filed: July 1, 2003                  | ) | <b><u>CERTIFICATION FOR</u></b>             |
|                                      | ) | <b><u>SUPPLEMENTAL INFORMATION</u></b>      |
|                                      | ) | <b><u>DISCLOSURE STATEMENT UNDER 37</u></b> |
|                                      | ) | <b><u>CFR § 1.97(e)</u></b>                 |
| For: <b>MULTI-LEVEL MICROCHANNEL</b> | ) |   |
| <b>HEAT EXCHANGERS</b>               | ) | 162 N. Wolfe Road                           |
|                                      | ) | Sunnyvale, CA 94086                         |
|                                      | ) | (408) 530-9700                              |
|                                      |   | Customer No. 28960                          |

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

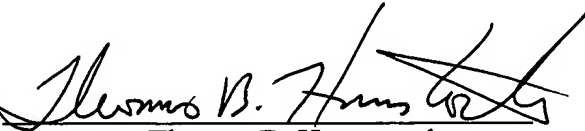
I, the person signing below, hereby certify that the printed publications contained in the enclosed supplemental information disclosure statement were cited within an Official Action mailed on May 15, 2006. **Accordingly, I hereby certify that no references contained within this supplemental information disclosure statement was cited in a communication from a foreign patent office in a related foreign application, and, to the knowledge of the person signing the statement, after making reasonable inquiry, no reference contained within this supplemental information disclosure statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this supplemental information disclosure statement. 37 C.F.R. 1.97(e)(2).**

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 7-28-06

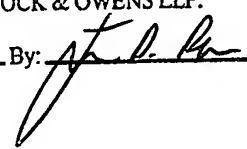
By:   
Thomas B. Haverstock  
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Attorneys for Applicants

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HAVERSTOCK & OWENS LLP.

Date: 7-28-06 By: 



PATENT  
Attorney Docket No.: COOL-01400

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Serial No.: 10/612,241

Filed: July 1, 2003

For: **MULTI-LEVEL MICROCHANNEL  
HEAT EXCHANGERS**



) Group Art Unit: 3753

) Examiner: Duong, Tho V.

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

) Customer No.: 28960

MS: Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicants have become aware of the following printed publications which may be material to the examination of this application:

- U.S. Patent No. 4,494,171;
- U.S. Patent No. 5,145,001;
- U.S. Patent No. 6,131,650;
- U.S. Patent No. 6,196,307 B1;
- U.S. Patent No. 6,508,301 B2;
- U.S. Publication No. 2004/112571 A1; and
- U.S. Publication No. 2005/0169849 A1.

This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 7-28-06

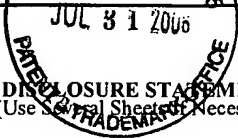
By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

**CERTIFICATE OF MAILING (37 C.F.R. 1.56(b))**  
I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450

HAVERSTOCK & OWENS LLP.

Date: 7-28-06 By: [Signature]

|  |    |   |                  |  |                  |                                  |             |                        |  |
|--|----|---|------------------|--|------------------|----------------------------------|-------------|------------------------|--|
| FORM PTO-1449<br>(Modified)  |    |  |                  | U.S. Department of Commerce<br>Patent and Trademark Office |                  | Attorney Docket No.: COOL-01400  |             | Serial No.: 10/612,241 |  |
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b><br>(Use Separate Sheet if Necessary)  |    |   |                  |  |                  | Applicants: James Lovette et al. |             |                        |  |
| (37 CFR § 1.98(b))   |    |   |                  |  |                  | Filing Date: July 1, 2003        |             | Group Art Unit: 3753   |  |
| <b>U.S. PATENT DOCUMENTS</b>   |    |   |                  |  |                  |                                  |             |                        |  |
| Examiner<br>Initials   |    | Serial / Patent Number  | Issue Date       | Applicant / Patentee                                       | Class            | Subclass                         | Filing Date |                        |  |
|  | AA | 4,494,171   | 01/15/85         | Bland et al.   | 361              | 386                              | 08/24/82    |                        |  |
|  | AB | 5,145,001   | 09/08/92         | Valenzuela   | 165              | 164                              | 04/23/91    |                        |  |
|  | AC | 6,131,650   | 10/17/00         | North et al.   | 165              | 170                              | 07/20/99    |                        |  |
|  | AD | 6,196,307 B1  | 03/06/01         | Ozmat  | 165              | 185                              | 06/17/98    |                        |  |
|  | AE | 6,508,301 B2  | 01/21/03         | Marsala  | 165              | 80.4                             | 04/17/01    |                        |  |
|  | AF | US 2004/0112571 A1  | 06/17/04         | Kenny et al.   | 165              | 80.3                             | 10/30/03    |                        |  |
|  | AG | US 2005/0168949 A1  | 08/04/05         | Tilton et al.  | 361              | 699                              | 01/30/04    |                        |  |
|  | AH |   |                  |  |                  |                                  |             |                        |  |
|  | AI |   |                  |  |                  |                                  |             |                        |  |
|  | AJ |   |                  |  |                  |                                  |             |                        |  |
| <b>FOREIGN PATENTS OR PUBLISHED FOREIGN PATENT APPLICATIONS</b>  |    |   |                  |  |                  |                                  |             |                        |  |
|  |    | Document Number   | Publication Date | Country / Patent Office                                    | Class            | Subclass                         | Translation |                        |  |
|  |    |   |                  |  |                  |                                  | Yes         | No                     |  |
|  | AK |   |                  |  |                  |                                  |             |                        |  |
|  | AL |   |                  |  |                  |                                  |             |                        |  |
|  | AM |   |                  |  |                  |                                  |             |                        |  |
|  | AN |   |                  |  |                  |                                  |             |                        |  |
|  | AO |   |                  |  |                  |                                  |             |                        |  |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)</b>   |    |   |                  |  |                  |                                  |             |                        |  |
|  | AP |   |                  |  |                  |                                  |             |                        |  |
|  | AQ |   |                  |  |                  |                                  |             |                        |  |
|  | AR |   |                  |  |                  |                                  |             |                        |  |
|  | AS |   |                  |  |                  |                                  |             |                        |  |
|  | AT |   |                  |  |                  |                                  |             |                        |  |
|  | AU |   |                  |  |                  |                                  |             |                        |  |
|  | AV |   |                  |  |                  |                                  |             |                        |  |
|  | AW |   |                  |  |                  |                                  |             |                        |  |
|  | AX |   |                  |  |                  |                                  |             |                        |  |
|  | AY |   |                  |  |                  |                                  |             |                        |  |
|  | AZ |   |                  |  |                  |                                  |             |                        |  |
| Examiner:  |    |   |                  |  | Date Considered: |                                  |             |                        |  |
| <b>EXAMINER:</b> Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |    |   |                  |  |                  |                                  |             |                        |  |